



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE

United States Patent and Trademark Office

Address: COMMISSIONER FOR PATENTS

P.O. Box 1450

Alexandria, Virginia 22313-1450

www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/547,207	08/26/2005	Paul Andrew Hamblin	V60033USw	4726
23347 7590 03/10/2008 GLAXOSMITHKLINE CORPORATE INTELLECTUAL PROPERTY, MAI B475 FIVE MOORE DR., PO BOX 13398 RESEARCH TRIANGLE PARK, NC 27709-3398				
EXAMINER NATARAJAN, MEERA				
ART UNIT 1643		PAPER NUMBER		
NOTIFICATION DATE 03/10/2008		DELIVERY MODE ELECTRONIC		

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

USCIPRTP@GSK.COM

JULIE.D.MCFALLS@GSK.COM

LAURA.M.MCCULLEN@GSK.COM

### Office Action Summary

**Application No.**

10/547,207

**Applicant(s)**

HAMBLIN ET AL.

**Examiner**

MEERA NATARAJAN

**Art Unit**

1643

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 02 August 2007.  
2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.  
3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-14, 16-18 and 21-26 is/are pending in the application.  
4a) Of the above claim(s) 1-14 and 18 is/are withdrawn from consideration.  
5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.  
6) ☒ Claim(s) 16, 17, 21-26 is/are rejected.  
7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.  
8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.  
10) ☒ The drawing(s) filed on 26 August 2005 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).  
11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☒ All b) ☐ Some \* c) ☐ None of:  
1. ☒ Certified copies of the priority documents have been received.  
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892)  
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)  
3) ☒ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date 08/26/2005 and 08/02/2007  
4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date \_\_\_\_\_  
5) ☐ Notice of Informal Patent Application  
6) ☐ Other: \_\_\_\_\_

**DETAILED ACTION**

***Election/Restrictions***

1. Applicant's election without traverse of Group II, Claims 16, 17, 20 and newly added claims 21-26 in the reply filed on 08/02/2007 is acknowledged.
2. Claims 1-14, and 18 are withdrawn from further consideration pursuant to 37 CFR 1.142(b) as being drawn to a nonelected inventions, there being no allowable generic or linking claim. Election was made **without** traverse in the reply filed on 08/02/2007.
3. In the amendment filed 08/02/2007, Applicant has cancelled elected claim 20.
4. Claims 16, 17 and 21-26 will be examined on the merits.

***Claim Rejections - 35 USC § 112***

5. The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

6. Claims 16, 17 and 21-26 are rejected under 35 U.S.C. 112, first paragraph, as failing to comply with the enablement requirement. The claim(s) contains subject matter which was not described in the specification in such a way as to enable one skilled in the art to which it pertains, or with which it is most nearly connected, to make and/or use the invention.

Art Unit: 1643

7. The claims are drawn to a method of treating MUC-1 over-expressing tumors in a mammal, comprising administering a nucleic acid molecule encoding a MUC-1 protein that raises an immune response to MUC-1 *in vivo*.
8. In making a determination as to whether an application has met the requirements for enablement under 35 U.S.C. 112 ¶ 1, the courts have put forth a series of factors. See, In re Wands, 8 USPQ2d 1400, at 1404 (CAFC 1988); and Ex Parte Forman, 230 U.S.P.Q. 546 (BPAI 1986). The factors that may be considered include (1) the quantity of experimentation necessary, (2) the amount of direction or guidance presented, (3) the presence or absence of working examples, (4) the nature of the invention, (5) the state of the prior art, (6) the relative skill of those in the art, (7) the predictability or unpredictability of the art, and (8) the breadth of the claims. While it is not essential that every factor be examined in detail, those factors deemed most relevant should be considered.
9. The instant specification provides insufficient guidance and objective evidence to enable the invention as claimed. Furthermore, if the claimed nucleic acid were to be used in gene therapy, those of skill in the art would recognize the unpredictability of treating a disease by a method of gene therapy.
10. Gene therapy using administration of recombinant nucleic acids involving *in vivo* or *ex vivo* methods has not seen any success despite a great deal of work and resources. Several reviews in the art show that difficulties with vector selection, mode of delivery and persistence of predictable and effective levels of expression of the protein, created technical barriers to the practice of gene therapy methods. Verma et al. states that, "[the Achilles heel of gene therapy is

Art Unit: 1643

gene delivery . . .", and that, "most of the approaches suffer from poor efficiency of delivery and transient expression of the gene" (Verma et al. (1997) Nature Volume 389, page 239, column 3, paragraph 2). Marshall concurs, stating that, "difficulties in getting genes transferred efficiently to target cells- and getting them expressed-remain a nagging problem for the entire field", and that "many problems must be solved before gene therapy will be useful for more than the rare application" (Marshall (1995) Science, Volume 269, page 1054, column 3, paragraph 2, and page 1055, column 1).

11. Numerous factors complicate the gene therapy art, which have not been shown to be overcome by routine experimentation. Eck et al. (Goodman & Gilman's The Pharmacological Basis of Therapeutics (1996), 9th Edition, Chapter 5, McGraw-W, NY) explains, "the delivery of exogenous DNA and its processing by target cells requires the introduction of new pharmacokinetic paradigms beyond those that describe the conventional medicines in use today". Eck et al. teaches that with in vivo gene transfer, one must account for the fate of the DNA vector itself (volume of distribution, rate of clearance into the tissues, etc.), the in vivo consequences of altered gene expression and protein function, the fraction taken up by the target cell population, the trafficking of the genetic material within cellular organelles, the rate of degradation of the DNA, the level of mRNA produced, the stability of the mRNA produced, the amount and stability of the protein produced, and the protein's compartmentalization within the cell or its secretory fat, once produced. These factors differ dramatically based on the

Art Unit: 1643

vector used, the protein being produced and the disease being treated (see Eck et al. bridging pages 81-82).

12. Also among the many factors that the art teaches affect efficient gene delivery and sustained gene expression are immune responses and the identity of the promoter used to drive gene expression. Verma et al. teaches, in reference to ex vivo methods, that weak promoters produce only low levels of therapeutically effective protein, and that only by using appropriate enhancer-promoter combinations can sustained levels of therapeutically effective protein be achieved (Verma et al., supra, page 240, column 2). Verma et al. further warns that, " . . .the search for such combinations is a case of trial error for a given cell type" (Verma et al., supra, page 240, bridging sentence of columns 2-3). The state of the art is such that no correlation exists between successful expression of a gene and a therapeutic result (Ross et al. Human Gene Therapy, 1996, Volume 7, pages 1781-1790, see page 1789, column 1, first paragraph). Thus, the art clearly establishes that expectation for achieving a desired therapeutic effect in vivo by expressing a therapeutic gene using any of the expression constructs known in the art was extremely low. Thus the claimed method of treatment comprising administering a nucleic acid would not have substantial utility without undue experimentation.

### ***Conclusion***

13. Claims 16, 17, and 21-26 are rejected.

14. No claim is allowed.

Art Unit: 1643

15. Any inquiry concerning this communication or earlier communications from the examiner should be directed to MEERA NATARAJAN whose telephone number is (571)270-3058. The examiner can normally be reached on Monday-Thursday, 9:30AM-7:00PM, ALT. Friday. EST.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Larry Helms can be reached on 571-272-0832. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300. Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

MN

/Larry R. Helms/  
Supervisory Patent Examiner, Art Unit 1643